

# MONTH END ACTIVITY REPORT

## Bureau of Securities August 2010

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additionalals	138	323	461
Oversales	9	0	9
Renewal Filings	419	1282	1701
New Notice Filings	151	83	234
Common Stock	0	0	0
Limited Partnerships	1	0	1
Preferred Stock	0	0	0
REIT	2	0	2
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	10	0	10

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	9	1	10
Applications Withdrawn/Abandoned	1	0	1
Applications Denied	0	0	0
Terminations	2	0	2
Gain/Loss Broker-Dealers	6	1	7
Total Broker-Dealers Registered as of <b>August 31, 2010</b>	1408	29	1437
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1857	2	1859
Denied	0	0	0
Terminations	898	0	898
Gain/Loss Agents	959	2	961
Total BD Agents Registered as of <b>August 31, 2010</b>	76656	55	76711

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	1	10	11
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	3	3
Denied	0	0	0
Gain/Loss effective registrations	1	7	8
Total IA's Registered as of <b>August 31, 2010</b>	74	1061	1135
Investment Adviser Representatives			
Activity	State	Federal	Total
New	1	50	51
Denied	0	0	0
Terminated	1	57	58
Gain/Loss effective registrations	0	-7	-7
Total IAR's Registered as of <b>August 31, 2010</b>	133	3153	3286

Exemptions			
Exemption Type	Number		
8-1108.02(2)	32		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	2		
8-1110(8)	1		
8-1111(9)	11		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of <b>August 31, 2010</b>	46		